



SQF Food Safety Audit Edition 9

Borton and Sons, Inc - Borton Packing Center

Summary

AUDIT DECISION
CERTIFIED

CERTIFICATION NUMBER
50729 | 136405

AUDIT RATING



Excellent

DECISION DATE
09/16/2021

AUDIT TYPE
RECERTIFICATION

RECERTIFICATION DATE
08/04/2022

AUDIT DATES
08/04/2021 - 08/06/2021

EXPIRATION DATE
10/18/2022

ISSUE DATE
09/16/2021

Facility & Scope

Borton and Sons, Inc (43494)

Borton Packing Center
2300 Ahtanum Rd.
Yakima, WA 98903
United States

Food Sector Categories:

4. Fresh Produce, Grain, and Nut Packhouse Operations

Products:

Apples and pears.

Scope of Certification:

Sorting and packing of apples and pears.

Certification Body & Audit Team

EAGLE Food Registrations, Inc.



EAGLE Food Registrations Inc.
SERVICE • INTEGRITY • VALUE

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United States

Phone #: 937-293-2000

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CB#: CB-1-Eagle

Accreditation Body: ANSI

Accreditation Number: 0894

Lead Auditor: McNeill, Todd (119528)

Technical Reviewer: Cosley, Ryan (209266)

Hours Spent on Site: 24

Hours of ICT Activities: 0

Hours Spent Writing Report: 8

2.9.2 Training Program (Mandatory)

The SQF Practitioner and HR are responsible for training which includes both basic training in HACCP, SQF, hygiene, and GMPs, as well as specialized training for various job functions. The program is robust and covers all food safety-related issues. Sighted training records for: CP training for ORP/pH/Cl monitoring with written assessment: CP operators, Trained by US Syntec for CP operators, Sighted records of compliance for recording Levels of Chlorine. QC staff training for fruit grading: Larry Gamache, Veronica Garcia Dumper Training: Karina Padilla, Carmen Verduzco -Clean up crew training. Joe Kitner Cleaning Lead with 25 people on the cleaning crew. Clean up crew training: Cascade Analytical and Birko is used to help train the cleaning crew. ORP monitoring is done by Christian Mendoza and Zack Leahy Training Forms FZ-01-02 7-30-21 Bismark Castro, Maria Cruz, Maria Ortiz. Minor 2.9.2.3 Missing names of trainers and all topics covered, 8-3-2021 training logs.

2.9.2.3 Training records shall be maintained and include: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Verification that the trainee is competent to complete the required tasks.

RESPONSE: MINOR

EVIDENCE: Missing names of trainers and all topics covered. 8-3-2021 training logs.

ROOT CAUSE: HR employees not filling out training documents completely - required re-training.

CORRECTIVE ACTION: Re-trained HR staff (2) employees, must completely fill out training forms.

VERIFICATION OF CLOSEOUT: Training records are supplied and current for Borton Fruit Yakima Facility. This was being done but records were incomplete

COMPLETION DATE: 08/24/2021 **CLOSEOUT DATE:** 09/10/2021

Audit Statements

SQF Practitioner Name Name the designated SQF Practitioner
RESPONSE: Jeremy Leavitt

SQF Practitioner Email Email of the designated SQF Practitioner
RESPONSE: Jeremy@BortonFruit.com

Opening Meeting People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas)
RESPONSE: Jeremy Leavitt: SQF Practitioner, Daisy Garcia: Food Safety and Todd Mcneill: Auditor

Facility Description Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details)
RESPONSE: Borton Fruit Yakima s a Fresh Apples Packing and Storage Facility in Yakima Union GAP, Washington. Borton Stores Packs and Distributes Fresh Conventionally grown Apples. The packing facility is 750,000 ft and Cold Storage with Shipping consisting of two dedicated packing lines and a dedicated repacking area. Two Packing lines, repack line, shipping employ 500 employees each on 2 /10-hour shifts. The Facility is located next to orchards. businesses in a rural area. The audit includes the entire scope of the operation including employee practices people on 2 shifts. 6:00 AM and 4:00 PM 6:00 to 2:00 PM and file requirements. Operational Packs 12 months annually.

Closing Meeting People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas)
RESPONSE: Jeremy Leavitt: SQF Practitioner, Daisy Garcia: Food Safety and Todd Mcneill: Auditor

Auditor Recommendation Auditor Recommendation
RESPONSE: Approve for certification once corrective action is completed.

Section Responses

2.1.1 Management Responsibility (Mandatory)

A policy statement states Borton Fruits commitment to providing Safe Apples to the retail market to its customers by taking reasonable measures and precautions to ensure food safety is met for the packing storage and shipping of Cherries. In order to maintain a healthy food safety culture, this site ensures that shared values and behaviors towards food safety are implemented and communicated. Borton Main has developed a culture of food safety through training and an open communication system from employees to supervisors to upper management through meetings held weekly. Emails and meeting dates were provided to show communication. The commitment is posted in an easily visible location in the front reception area on a bulletin board. An Organizational Chart for this facility shows the key personnel responsible for food safety. Job descriptions for the General Manager, Director of Food Safety, Quality Assurance, Director of Operation, Receiving Inspector, and Maintenance Technician were available in the SQF Manual Monthly Food Safety meeting are presented. The culture for Borton Fruit is established through having a robust food safety system which includes management commitment for improving the systems and have multiple food safety and ethical audits annually. A letter is present stating Borton Fruits commitment and was signed in 2021 by Management and Staff trained to bring any Food Safety or quality concerns to management. The company management appears to have an open-door policy in place which was evident during the inspection by interviewing personnel.

2.1.1.1 Senior site management shall prepare and implement a policy statement that outlines at a minimum the commitment of all site management to: i. Supply safe food; ii. Establish and maintain a food safety culture within the site; iii. Establish and continually improve the site's food safety management system; and iv. Comply with customer and regulatory requirements to supply safe food. The policy statement shall be: v. Signed by the senior site manager and displayed in prominent positions; and vi. Effectively communicated to site personnel in language(s) understood by all staff.

RESPONSE: COMPLIANT

2.1.1.2 Senior site management shall lead and support a food safety culture within the site that ensures at a minimum: i. The establishment and documentation of clear and concise food safety objectives and performance measures and their communication to all relevant staff; ii. Adequate resources are available to meet food safety objectives and performance measures; iii. Food safety practices and all applicable requirements of the SQF System are adopted and maintained; iv. Staff are informed and are aware of their food safety and regulatory responsibilities; v. Staff are informed and held accountable for their food safety and regulatory responsibilities; vi. Staff are positively encouraged and required to notify management of actual or potential food safety issues; and vii. Staff are empowered to act to resolve food safety issues within their scope of work.

RESPONSE: COMPLIANT

2.1.1.3 The reporting structure shall identify and describe the site personnel with specific responsibilities for tasks within the food safety management system and identify backup for absence of key personnel. Job descriptions for the key personnel shall be documented.

RESPONSE: COMPLIANT

2.1.1.4 Senior site management shall designate a primary and substitute SQF practitioner for each site with responsibility and authority to: i. Oversee the development, implementation, review, and maintenance of the SQF System, including Good Agricultural/Operating Practices outlined in 2.4.2, and the food safety plan outlined in 2.4.3. ii. Take appropriate action to ensure the integrity of the SQF System; and iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System

RESPONSE: COMPLIANT

2.1.1.5 The primary and substitute SQF practitioner shall: i. Be employed by the site; ii. Hold a position of responsibility related to the management of the site's SQF System; iii. Have completed a HACCP training course; iv. Be competent to implement and maintain HACCP based food safety plans; and v. Have an understanding of the SQF Food Safety Code: Primary Plant Production and the requirements to implement and maintain an SQF System relevant to the site's scope of certification.

RESPONSE: COMPLIANT

2.1.1.6 Senior site management shall ensure the training needs of the site are resourced, implemented, and meet the requirements outlined in system elements 2.9 and that site personnel have met the required competencies to carry out those functions affecting the legality and safety of food products.

RESPONSE: COMPLIANT

2.1.1.7 Senior site management shall ensure the integrity and continued operation of the food safety system in the event of organizational or personnel changes within the company or associated facilities.

RESPONSE: COMPLIANT

2.1.1.8 Senior site management shall designate defined blackout periods that prevent unannounced re-certification audits from occurring out of season or when the site is not operating for legitimate business reasons. The list of blackout dates and their justification shall be submitted to the certification body a minimum of one (1) month before the sixty (60) day re-certification window for the agreed-upon unannounced audit.

RESPONSE: COMPLIANT

2.1.2 Management Review (Mandatory)

Management review PZ-01-01 is held once per year with Jeremy Leavitt the Director of Food Safety Quality and the Operations Manager. The review includes: customer complaints, internal and external audit findings, corrective actions taken, and a review of the entire system and the HACCP Plan. There are steps for reviewing the system and validating any new changes but there have been no new changes. Management Review meetings are conducted annually and records for the annual review conducted on 6-1-2021 along with monthly update meetings demonstrated a thorough review of the SQF program. The agenda, minutes reviewed demonstrated that at minimum the Policy manual, Internal and external audits, Customer complaints, Food Safety objectives and Follow up action items. The SQF Practitioner holds a weekly meeting with ownership and upper management to discuss all issues including providing safety updates and concerns.

2.1.2.1 The SQF system shall be reviewed by senior site management at least annually and include: i. Changes to food safety management system documentation (policies, procedures, specifications, food safety plan); ii. Food safety culture performance; iii. Food safety objectives and performance measures; iv. Corrective and preventative actions and trends in findings from internal and external audits, customer complaints, and verification and validation activities; v. The hazard and risk management system; and vi. Follow-up action items from previous management review. Records of all management reviews and updates shall be maintained.

RESPONSE: COMPLIANT

2.1.2.2 The SQF Practitioner(s) shall update senior site management on at least a monthly basis on matters impacting the implementation and maintenance of the SQF System. The updates and management responses shall be documented.

RESPONSE: COMPLIANT

2.1.3 Complaint Management (Mandatory)

Customer Complaint Management program states that this site receives complaints from the following: 1. Direct complaints from the customer, and 2. Complaints from the sales department. Complaints are categorized as Urgent High risk, and Non-Urgent Low risk. A complaint log was reviewed. Details of the complaints and corrective actions implemented are documented in a log. investigations reviewed were observed to detail the issue, describe the product in question, corrective action implemented, the department responsible, and the investigation outcome. All complaints are reviewed through Chelan Fresh Sales and Borton weekly. Apples are packed year around Chelan Fresh employees are on-site during the packing to determine the quality and the fruit meets customer requirements.

2.1.3.1 The methods and responsibility for handling, investigating, and resolving complaints from commercial customers, consumers, and authorities arising from products grown or handled on-site, shall be documented and implemented.

RESPONSE: COMPLIANT

2.1.3.2 Adverse trends of customer complaint data shall be investigated and analyzed, and root cause established by personnel knowledgeable about the incidents.

RESPONSE: COMPLIANT

2.1.3.3 Corrective and preventative action shall be implemented based on the seriousness of the incident and the root cause analysis as outlined in 2.5.3. Records of customer complaints, their investigation and resolution shall be maintained.

RESPONSE: COMPLIANT

2.2.1 Food Safety Management System (Mandatory)

The SQF Practitioners are responsible for developing and maintaining the SQF System. Jeremy, the SQF Practitioner, ensures that the Food Safety manual is available for all relevant team members. At a minimum, the following are documented in the system manual: Scope of Certification, Food Safety Management System. Any changes made must be justified, and validated by the facility SQF Practitioners. The methods and procedures the site uses to meet the requirements of the SQF Food Safety Code, Food Manufacturing shall be maintained in electronic and hard copy. Documents will be made available to relevant staff and include a summary of the organization's food safety policies and the methods that meet SQF version 9.0 requirements. The food safety policy statement and organization chart. All produce complies with FSMA standards.

2.2.1.1 The methods the site uses to meet the requirements of the SQF Food Safety Code: Primary Plant Production shall be maintained in electronic and/or hard copy documentation. They will be made available to relevant staff and include: i. Food safety policies and organization chart; ii. Products covered under the scope of certification; iii. Food safety regulations that apply to the site and to the country of sale if known; iv. Agricultural inputs/materials, packaging materials, and finished product specifications; and v. Written procedures and programs (Good Agricultural Practices and/or Good Operational Practices) and other documentation necessary to support the development, implementation, maintenance, and control of the SQF System (e.g., food safety plans, validation, and verification).

RESPONSE: COMPLIANT

2.2.1.2 Food safety plans, Good Agricultural/Operating Practices, and all relevant aspects of the SQF System shall be reviewed, updated, and communicated as needed when any potential changes implemented have an impact on the site's ability to deliver safe food. The reason for the change shall be documented.

RESPONSE: COMPLIANT

2.2.2 Document Control (Mandatory)

The methods and responsibility for maintaining document control are documented. Editing is accessible only to relevant staff. A register of SQF system documents was presented for review. The register was observed maintained with the latest revision of documents. Master documents are maintained electronically and are password protected. Only authorized personnel from the Food Safety team have access to documents in the food document control system.

2.2.2.1 The methods and responsibility for maintaining document control, including records, shall be documented and implemented. They shall ensure that documents and records are i. Controlled; ii. Current; iii. Safely stored to prevent unauthorized access, loss, damage, and deterioration; iv. Organized in a registry or listing form; and v. Readily accessible in a manner that ensures employees use up-to-date and current policies, procedures (work instructions/task lists), and forms when documenting food safety related activities.

RESPONSE: COMPLIANT

2.2.3 Records (Mandatory)

Methods and responsibilities are documented for records control. Verification activities are conducted by QA/QC personnel and Verified by Food Safety. Records are readily accessible upon request and legible. The following were provided for review for Chemical monitoring, pest control, Water Turbidity, refrigeration, cleaning, truck inspection, and cleaning logs.

2.2.3.1 All manual or electronic/digital records shall be legible, suitably authorized, and/or signed by those undertaking activities to demonstrate that inspections, supervisory reviews, testing, and other essential activities have been completed.

RESPONSE: COMPLIANT

2.2.3.2 Records shall be retained in accordance with periods specified by a customer or regulations or at a minimum no less than product shelf life.

RESPONSE: COMPLIANT

2.3.1 Plant Variety/Hybrid or Product Development

Apples are packed at the main plant only and are included in a list with requirements for proper storage. Cold Rooms are temperature controlled to 33 to 38 degrees for the storage and packing of Apples. The cold rooms are kept operable by Double Kold Refrigeration. No product development is done on-site for Cherries except packing that meets WSDA requirements.

2.3.1.1 The methods and responsibility for designing, developing, and converting product concepts (e.g. new varieties, hybridization, crops, species) to commercial realization shall be documented and implemented and comply with regulatory and customer requirements. Records for new products testing, shelf life, and final approvals shall be maintained.

RESPONSE: COMPLIANT

2.3.1.2 The food safety plan shall be reviewed and revised accordingly for each new product and its associated process through conversion to commercial production and distribution, or where a change to inputs, process, or packaging occurs that may impact food safety.

RESPONSE: COMPLIANT

2.3.1.3 New products shall be tested and inspected to ensure they meet stated shelf life, maximum residue limits (MRLs), and other regulatory and customer requirements (e.g., potency, strength, purity).

RESPONSE: COMPLIANT

2.3.1.4 The process flows for all new and existing processes shall be designed to ensure that products meet specifications and to prevent cross-contamination.

RESPONSE: COMPLIANT

2.3.2 Specifications (Agricultural Inputs, Packaging, Harvested Product, and Contract Services)

Materials Receiving Guidelines detail the requirements for QA and acceptance, receiving procedures for Apples. Storage and handling procedures are written. All materials, ingredients, packaging materials, and services that impact finished product safety and quality are supplied by approved suppliers. Non-approved suppliers are not used. Validation activities meet WSDA requirements for packing. A register of approved suppliers and products used post-harvest is kept in the vendor manual, as well as electronically. All Cherries are tested for MRLs to determine where they can be sold too by PAL Matrix in Portland Oregon.

2.3.2.1 Specifications and/or descriptions for seeds, agricultural inputs, packaging, and contract services that impact finished product safety shall be documented, approved, comply with relevant legislation, and kept current through a review process.

RESPONSE: COMPLIANT

2.3.2.2 Food contact packaging, seeds, and agricultural inputs shall be verified to ensure product safety is not compromised and the material is fit for its intended purpose. Verification shall include certificates of conformance, certificate of analysis, or sampling and testing (refer to 2.4.4.1).

RESPONSE: COMPLIANT

2.3.2.3 Finished product specifications shall be documented, approved by the site and its customer where applicable, accessible to relevant staff, and kept current through a review process. Specifications shall include, where applicable: i. Microbiological, purity, strength, composition, and agricultural chemical limits; ii. Maximum residue limits (MRLs) for pesticides; and iii. Labeling and packaging regulatory and customer requirements.

RESPONSE: COMPLIANT

2.3.2.4 The methods and responsibilities for managing contract farms, services (e.g., spraying), packers, or storage and distribution facilities shall be documented and implemented to ensure the following are being met: i. Contract farms and services shall comply with the SQF Food Safety Code: Primary Plant Production and relevant regulatory and customer requirements; ii. Changes to contractual agreements are approved by both parties and communicated to relevant personnel; and iii. Records of all contract reviews and changes to contractual agreements and their approvals are maintained.

RESPONSE: COMPLIANT

2.3.2.5 A register or listing of all specifications and/or descriptions for seeds, agricultural inputs, packaging, and labels, finished products, and contract services shall be maintained and kept current.

RESPONSE: COMPLIANT

2.3.3 Approved Supplier/Input Purchasing Program (Mandatory)

Contracted packing is through Chelan Fresh marketing and the four companies used to pack under their label.

2.3.3.1 Seeds, agricultural inputs, harvested product, market-ready product, and packaging materials that impact finished product food safety shall be supplied by an approved supplier. The methods and responsibility for selecting, evaluating, approving, and monitoring an approved supplier shall be documented and implemented. The approved supplier program shall contain at a minimum: i. A risk level assigned to each supplier that is based on the past performance of the supplier, criticality to the site, food safety risk, and other relevant factors determined by the site; ii. Agreed specifications; iii. A summary of the food safety controls implemented by the approved supplier, including regulatory compliance and licensing where applicable; iv. Methods for granting approved supplier status; v. Methods and frequency of monitoring approved suppliers, which may include testing, receiving inspection, and/or supplier audits; vi. Methods and frequency of reviewing approved supplier performance and status. Where supplier audits are used as a monitoring tool, they shall be based on risk and conducted by individuals knowledgeable of applicable regulatory and food safety requirements and trained in auditing techniques. A register or list of approved suppliers and records of monitoring activities shall be maintained.

RESPONSE: COMPLIANT

2.3.3.2 The receipt of seeds, agricultural inputs, harvested product, market-ready product, and packaging materials from non-approved suppliers shall be acceptable in an emergency situation, provided they are inspected or analyzed before use.

RESPONSE: COMPLIANT

2.3.3.3 Agricultural inputs, harvested product, market-ready product, and packaging materials received from other sites under the same corporate ownership shall be subject to the same specification requirements (refer to 2.3.2), approved supplier requirements, and receiving inspections as all other material providers.

RESPONSE: COMPLIANT

2.4.1 Food Legislation (Mandatory)

Food Legislation describes the methods for maintaining a register for requirements to storage and shipping of Apples. The methods include the review of information provided by the Produce Management Association (PMA), United Fresh, the FDA, USDA, WSDA. Both SQFI and Eagle Certification Group are listed on the contact list for any food safety event.

2.4.1.1 The owner/senior site manager shall ensure that, at the time of delivery to its customer, the food supplied shall comply with food safety and production legislation applicable in the country of use and sale, if known. Any specific licensing requirements or commodity-specific regulations shall be maintained and kept current.

RESPONSE: COMPLIANT

2.4.1.2 The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments, emerging food safety issues, and relevant industry codes of practice shall be documented and implemented.

RESPONSE: COMPLIANT

2.4.1.3 SQFI and the certification body shall be notified in writing within twenty-four (24) hours as a result of a regulatory warning or event. Notification to SQFI shall be by email to foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.4.2 Good Agricultural/Operating Practices (Mandatory)

Good Storage and Distribution Practices are met. The building is concrete with a solid roof structure. It is secured and completely closed. The surrounding areas are agricultural land and business in Union GAP/ Yakima Wa. All clauses of the SQF edition 9.0 have been implanted and the effectiveness of the pre-requisite programs are verified by monitoring cleanliness, customer complaints, and internal audits and trending.

2.4.2.1 The site shall ensure the applicable Good Agricultural Practices described in modules 7, 8, or 18 and the Good Operating Practices described in module 10 of this Food Safety Code are documented and implemented (refer to 2.2.1.1), or exempted according to a written risk analysis outlining the justification for exemption or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.

RESPONSE: COMPLIANT

2.4.3 Food Safety Plan (Mandatory)

The Food Safety Plan has been developed and implemented using HACCP and Codex Alimentarius methods. The plan is reviewed at least annually and was last reviewed and approved on 6-1-2021. A risk assessment and hazards analysis is in place. No CCPs are determined by the Analysis. There are two control points for Temperature in the coolers and Chemical monitoring in the hydro cooler and flume. The following were reviewed: Risk Assessment, Hazards, Process flow, HACCP Team with meeting records, and Intended use of the product. Seven steps of HACCP are followed. A Multidisciplinary HACCP team has been designated, and their names, position and contact information is noted in the plan. HACCP verification procedures are outlined. A reassessment of the plan is conducted annually or when changes are made. Verification and validation activities are conducted by HACCP-trained personnel. reviews and changes to the plan are documented. The operation is a Cherry packing and storage facility. Food Plan validates the program. Controls for packing are Ozone, PAA, and Sodium and Calcium Hypochlorite in the dump tank.

2.4.3.1 A HACCP-based referenced food safety plan, developed by a responsible authority, shall be implemented in the absence of a specifically developed food safety plan for the site. The site shall: i. Maintain current records indicating that the food safety plan has been reviewed and its scope of hazard analysis, risk assessments, and control measures, such as Good Agricultural or Operational Practices, cover all products produced and sold by the site and are within the scope of certification; and ii. Document when changes in the food safety plan have impacted their Good Agricultural or Operational Practices. Note: Sites shall choose either 2.4.3.1 or 2.4.3.2 with the subsequent 2.4.3 requirements as the mandatory element.

RESPONSE: COMPLIANT

2.4.3.2	<p>Where a site has developed its own food safety plan, either by choice or due to product(s) not included within the scope of a HACCP-based model as per 2.4.3.1, it shall be implemented and maintained and outline how the organization controls and assures food safety of the products or product groups and their associated processes that are included in the scope of the SQF certification. More than one HACCP food safety plan may be required to cover all products included in the scope of certification.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.3	<p>The food safety plan(s) shall be developed and maintained by a team that includes the SQF practitioner and those site personnel with agricultural, technical, and/or machinery knowledge relevant to the commodities and products. Where the relevant expertise is not available on-site, advice may be obtained from other sources to assist the food safety team.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.4	<p>The scope of each food safety plan shall be developed and documented including the start and endpoints of the processes under consideration and all relevant inputs and outputs.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.5	<p>Product descriptions shall be developed and documented for all products included in the scope of the food safety plans. These shall reference and/or include: i. The finished product specifications; ii. Information relevant to product safety, such as it is ready-to-eat, requires further processing, and/or storage conditions; and iii. The intended use of each product, which includes target consumer groups, the potential for consumption by vulnerable groups of the population, requirements for further processing if applicable, and potential alternative use of the product.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.6	<p>The food safety team shall develop and document a flow diagram covering the scope of each food safety plan. The flow diagram shall include every step in the process of primary production, all agricultural inputs, packaging material, service inputs (e.g., water, steam, gasses as appropriate), process delays, and all process outputs, including feed, waste, and rework. Each flow diagram shall be confirmed by the food safety team to cover all stages and hours of operation.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.7	<p>The food safety team shall identify and document all food safety hazards that can reasonably be expected to occur at each step in the processes, including agricultural inputs.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.8	<p>The food safety team shall conduct a hazard analysis for every identified hazard to determine which hazards are significant, i.e., their elimination or reduction to an acceptable level is necessary to control food safety. The methodology for determining hazard significance shall be documented and used consistently to assess all potential hazards.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.9	<p>The food safety team shall determine and document the control measures that must be applied to all significant hazards. More than one control measure may be required to control an identified hazard, and more than one significant hazard may be controlled by a specific control measure.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.10	<p>Based on the results of the hazard analysis (refer to 2.4.3.8), the food safety team shall identify the steps in the process where control must be applied to eliminate a significant hazard or reduce it to an acceptable level (a critical control point or CCP). In instances where a significant hazard has been identified at a step in the process, but no control measure exists, the food safety team shall modify the process to include an appropriate control measure.</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.11	<p>For each identified CCP, the food safety team shall identify and document the critical limits that separate safe from unsafe product. The food safety team shall validate all of the critical limits to ensure the level of control of the identified food safety hazard(s) and that all critical limits and control measures, individually or in combination, effectively provide the level of control required (refer to 2.5.2.1).</p> <p>RESPONSE: COMPLIANT</p>
2.4.3.12	<p>The food safety team shall develop and document procedures to monitor CCPs to ensure they remain within the established limits (refer to 2.4.3.11). Monitoring procedures shall identify the personnel assigned to conduct testing, the sampling and test methods, and the test frequency.</p> <p>RESPONSE: COMPLIANT</p>

2.4.3.13 The food safety team shall develop and document deviation procedures that identify the disposition of affected product when monitoring indicates a loss of control at a CCP. The procedures shall also prescribe actions to correct the process step to prevent recurrence of the safety failure.

RESPONSE: COMPLIANT

2.4.3.14 The documented and approved food safety plan(s) shall be implemented in full. The effective implementation shall be monitored by the food safety team, and a full review of the documented and implemented plans shall be conducted at least annually, or when changes to the process, equipment, inputs, or other changes affecting product safety occur.

RESPONSE: COMPLIANT

2.4.3.15 Procedures shall be in place to verify that critical control points are effectively monitored and appropriate corrective actions are applied. Implemented food safety plans shall be verified as part of SQF System verification (refer to 2.5).

RESPONSE: COMPLIANT

2.4.3.16 Critical control point monitoring, corrective action, and verification records shall be maintained and appropriately used.

RESPONSE: COMPLIANT

2.4.3.17 Where food safety regulations in the country of production and destination (if known) prescribe a food safety control methodology other than the Codex Alimentarius Commission HACCP guidelines, the food safety team shall implement food safety plans that meet both Codex and food regulatory requirements.

RESPONSE: COMPLIANT

2.4.4 Product Sampling, Inspection and Analysis

Non-conforming Product or Equipment and Corrective and Preventive Action SOP define how non-conforming product is handled. The nonconforming product that has been returned is clearly identified then discarded. The final disposition of the product is authorized by the Site Manager Eric Borton. Equipment such as forklifts and hand jacks are the responsibility of the Maintenance Manager. Scales not operating as required are tagged and removed from service. Calibration records for equipment are current. (Scales and Refrigeration)

2.4.4.1 The sampling, inspecting, and/or analyzing of agricultural inputs and finished product shall be documented and implemented. The procedures applied shall ensure: i. Inspections and analyses are completed at regular intervals as required and to agreed specifications (e.g., MRLs, purity, strength, composition as per 2.3.2) and regulatory and labeling requirements; ii. Records of all inspections and analyses are maintained; and iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. Where external laboratories are used to conduct input or product analyses, the laboratories shall be accredited to ISO 17025 or an equivalent national standard, licensed or recognized by a regulatory authority if required, and shall be included on the site's contract service specifications register (refer to 2.3.2.1). Where internal laboratories are used to conduct input or product analyses, sampling and testing methods shall be used in accordance with the applicable requirements of ISO/IEC 17025 or an equivalent national standard, including annual proficiency testing for personnel conducting analyses.

RESPONSE: COMPLIANT

2.4.4.2 On-site laboratories conducting chemical and microbiological analyses that may pose a risk to product safety shall ensure the following: i. Be located separate from any food handling or packaging activity and designed to limit access only to authorized personnel; ii. Provisions shall be made to isolate and contain all laboratory waste and to manage laboratory waste separately from food waste; iii. Laboratory wastewater outlets shall at a minimum be downstream of drains that service food processing and handling areas; and iv. Signage is displayed that identifies the laboratory area as a restricted area, accessible only by authorized personnel.

RESPONSE: COMPLIANT

2.4.5 Non-conforming Agricultural Inputs and Products

All Apples not meeting grade are discarded or sent for juice or processing. All Apples that meet WSDA guidelines for consumption are packed and shipped. Chelan Fresh employees inspect Apples to ensure they meet requirements.

2.4.5.1 The methods and responsibility for how to control non-conforming products, agricultural inputs, and packaging shall be documented and implemented. The procedures shall ensure: i. Items are quarantined (held), identified, handled, re-worked, and/or disposed of in a manner that minimizes the risk of inadvertent use, improper use, or risk to the integrity of finished product; ii. All relevant personnel are aware of the site's hold and release instructions and approvals; and iii. Records of non-conforming product holds, release, and dispositions are maintained.

RESPONSE: COMPLIANT

2.4.6 Product Rework

Only Apples are recouped. Repacking is done in the facility on a line dedicated for repacking. Records are current and kept in the I food system. Only the site manager is allowed to release any product placed on hold.

- 2.4.6.1 The responsibility and methods outlining how harvested or packaged product or packaging are reworked shall be documented and implemented. The methods applied shall ensure: i. Reworking operations are supervised by qualified personnel; ii. Reworked product is clearly identified and traceable; iii. Each batch/lot of reworked product is inspected or analyzed as required before release; iv. Inspections and analyses conform to the requirements outlined in element 2.4.4.1; and v. Records of all reworking operations are maintained.

RESPONSE: COMPLIANT

2.4.7 Product Release (Mandatory)

Only the GM, QA, Chelan Fresh Marketing can release any product placed on hold.

- 2.4.7.1 The methods and responsibility for releasing finished products shall be documented and implemented. The methods applied shall ensure: i. The product is released by authorized personnel; ii. The product is released only after all inspections and analyses have been successfully completed, reviewed, and documented; and iii. The product meets regulatory and other established food safety controls. Records of all product releases shall be maintained.

RESPONSE: COMPLIANT

2.4.8 Environmental Monitoring

Borton Fruits Monitoring Program states frequency (Zone 2-4 weekly. Zone 1 daily, trend data quarterly, etc.) Responsibility (Jeremy Leavitt Food Safety Manager) Test to be applied (ATP,) Procedures for collecting samples, documentation, etc. were available for review. COA test results from IEH Laboratories each month and from reports, process control Testing on equipment and environment with results of 0-3, on zones 2-4. times month clean break for conventional or organic fruit. IEH does the environmental testing is done 2 times a month. 40 locations per month during and randomized. None show any number above 10. All testing is 0 to 3. All locations pass inspection. The environmental program is a robust system for detection. IEH does testing monthly. Sanidart system is used for verification in place of ATP which is done daily.

- 2.4.8.1 A risk-based environmental monitoring program shall be in place for all products grown indoors and packhouse operations and include all processes and immediate surrounding areas. The methods and responsibility for the environmental monitoring program shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.4.8.2 An environmental sampling and testing schedule shall be prepared. It shall at a minimum: i. Detail the applicable pathogens or indicator organisms to test for in that industry; ii. List the number of samples to be taken and the frequency of sampling; iii. Outline the locations in which samples are to be taken and the rotation of locations as needed; and iv. Describe the methods to handle elevated or undesirable results.

RESPONSE: COMPLIANT

- 2.4.8.3 Environmental testing results shall be monitored, tracked, and trended, and preventative actions (refer to 2.5.3.1) implemented where unsatisfactory trends are observed.

RESPONSE: COMPLIANT

2.5.1 Validation and Effectiveness (Mandatory)

The effectiveness of the pre-requisite programs is verified through the monthly audits, customer complaints, 3rd party audits by key customers, and the Environmental Swab Analysis. A Validation Schedule dated was reviewed. Records for the following validation activities were reviewed: Chemical flume water PPM and MV counts- Calibration of Equipment: Evaluation of procedure, weekly calibration records, and annual calibration schedules. - Internal and external audits, - Cleaning and Sanitation: Environmental Swabs and ATP testing - Allergen Control: Visual inspecting and observation. Monitoring of incoming water is done annually.

2.5.1.1 The methods, responsibility, and criteria for ensuring the effectiveness of all applicable elements of the SQF Program shall be documented and implemented. The methods applied shall ensure that: i. Good Agricultural/Operating Practices are confirmed to ensure they achieve the required results; ii. Critical food safety limits are reviewed annually and re-validated or justified by regulatory standards when changes occur; and iii. Changes to the processes or procedures are assessed to ensure the controls are still effective. Records of all validation activities shall be maintained.

RESPONSE: COMPLIANT

2.5.2 Verification Activities (Mandatory)

The SQF practitioner is responsible for verification activities. Verification activities are scheduled to be conducted at various frequencies depending on the program or activity. Several documents outline Responsibility, Frequency, and Methods for burton Fruit is Zillah. Reviewed Verification for cleaning, truck refrigeration, Loading, and Receiving.

2.5.2.1 The methods, responsibility, and criteria for verifying monitoring of Good Agricultural/ Operating Practices, critical control points, other food safety controls, and the legality of certified products shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each verified record.

RESPONSE: COMPLIANT

2.5.2.2 A verification schedule outlining the verification activities, their frequency of completion, and the person responsible for each activity shall be prepared and implemented. Records of the verification of monitoring activities shall be maintained.

RESPONSE: COMPLIANT

2.5.3 Corrective and Preventative Action (Mandatory)

Corrective action procedures are in place for any product or system that is not meeting specifications through the WSDA or customer requirement. Monitoring logs for calibration, line flumes, refrigeration, transportation show any deviation is corrected with an outcome.

2.5.3.1 The methods and responsibility for outlining how corrective and preventative actions are determined, implemented, and verified shall be documented and implemented. The procedures shall include: i. The identification of the root cause, and ii. Resolution of non-compliances of critical food safety limits and deviations from food safety requirements that are deemed significant. Records of all investigation and resolution of non-conformities, including their corrections and preventative actions, shall be maintained.

RESPONSE: COMPLIANT

2.5.4 Internal Audits and Inspections (Mandatory)

Internal audits are performed annually for the site to meet SQF requirements. Also, monthly internal audits are performed with records by Borton Fruit. An internal audit is done annually for the Zillah plant by Jeremy and Daisy. FA-04-05 8-3-2021 Nine Corrective actions are sighted and corrected prior to the audit date. Daisy Garcia is trained in Internal audit trained.

2.5.4.1 The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted in full and at least annually. The methods applied shall ensure: i. All applicable requirements of the SQF Food Safety Code: Primary Plant Production are audited per the SQF audit checklist or a similar tool, and objective evidence is recorded to verify compliance and/or non-compliance; ii. Corrective and preventative actions of deficiencies identified during the internal audits are undertaken (refer to 2.5.3); iii. Audit results are communicated to relevant management personnel and personnel responsible for implementing and verifying corrective and preventive actions; and iv. Changes implemented from the internal audit that have an impact on the site's ability to deliver safe food result in a review of applicable aspects of the SQF System (refer to 2.3.1.3). Records of internal audits and any corrections and corrective action taken as a result of internal audits are maintained.

RESPONSE: COMPLIANT

2.5.4.2 Personnel conducting internal audits shall be trained and competent in internal audit procedures. Where practical, personnel conducting internal audits shall be independent of the function being audited.

RESPONSE: COMPLIANT

2.5.4.3 Regular inspections during growing and harvesting of products, packing of products, plant production, and/or equipment used shall be planned and carried out to verify Good Agricultural/Operating Practices and building/equipment maintenance are compliant to the applicable SQF Food Safety Code. The site shall: i. Take corrections or corrective and preventative actions; and ii. Maintain records of inspections and any corrective actions taken.

RESPONSE: COMPLIANT

2.6.1 Product Identification (Mandatory)

Product Identification is done for all items in the warehouse. The SOP reviewed describes how products are tracked at all stages. The company uses I Food and Produce Pro which identifies the product by the product description, date of receipt, PO#, Case quantity, Person Receiving Product.

- 2.6.1.1** The methods and responsibilities for the product identification system shall be documented and implemented to ensure: i. Agricultural inputs, work-in-progress, and finished product are clearly identified during all stages of receipt, operations, storage, shipping, and transportation; ii. Finished product is labeled to the customer specification and/or regulatory requirements; and iii. Product identification records are maintained.

RESPONSE: COMPLIANT

- 2.6.1.2** The responsibility and methods used to trace product shall be documented and implemented to ensure: i. Finished product is traceable to the customer (one up) and provides traceability through the process to the agricultural input supplier and date of receipt of inputs, food contact packaging and materials, and other inputs (one back); ii. Traceability is maintained where product is reworked (refer to 2.4.3); and iii. The effectiveness of the product trace system is reviewed at least annually as part of the product recall and withdrawal review (refer to 2.6.2.1). Records for the receipt and use of agricultural inputs and packaging material and for finished product dispatch and destination are maintained.

RESPONSE: COMPLIANT

2.6.2 Product Withdrawal and Recall (Mandatory)

All product is Recallable and traceable as defined in the process and includes classes of recalls, the recall team, corrective actions. Mock recalls are conducted twice per year. A Trace and Mock recall were conducted at the audit. A recall team lead by Jeremy Leavitt is in charge of recalls. Class 1 2 3. A mock recall is done at the audit for SQF and for Costco 2 times annually and once annually for Costco at the audit. The 420 Pink Lady's. Pink Lady 6/6 clam Shells sent to Costco Brookshires TX. Another test was done on 8-2-2021 for Honey Crisp Apples. Pack EP2 Packed on 6-28-2021 and Shipped on 7-3-2021 for 45 cases out of 455 packed. Fruit is from Borton Ranch Zillah and harvested and received on 9-20-2021. All fruit and packaging are identifiable.

- 2.6.2.1** The methods and responsibility to withdraw or recall product shall be documented and implemented. The procedure shall: i. Identify those responsible for initiating, managing, and investigating a product withdrawal or recall; ii. Describe the procedures to be implemented by site management; iii. Outline a communication plan to inform customers, consumers, authorities, and other essential bodies in a timely manner appropriate to the nature of the incident; iv. Describe how the withdrawal and recall system is reviewed, tested, and verified least annually (mock recall); and v. Ensure that SQFI, the certification body, and the appropriate regulatory authority are listed as essential organizations and are notified in instances of a food safety incident of a public nature or product recall. Records of all product withdrawals, recalls, and mock recalls shall be maintained.

RESPONSE: COMPLIANT

- 2.6.2.2** Investigation shall be undertaken to determine the cause of a withdrawal or recall, and details of investigations and any actions taken shall be documented and recorded.

RESPONSE: COMPLIANT

- 2.6.2.3** SQFI and the certification body shall be notified in writing within twenty-four (24) hours upon identification of a food safety event that requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.6.3 Crisis Management Planning

A crisis management team is present for handling all unforeseen issues in the facility. The plan is reviewed annually and addresses issues of known and unknown threats to the facility that could impact production. Bortons plan is to have management and other personnel implement the plan in the event of various crises. i.e. Snow, earthquake, labor shortage, Pandemics, etc. A test is done for a Fire in the facility. The fire department was part of the test and training which was done on 6-25-2021. A mock fire was presented. The emergency plan was in place for employees and products as well. The Crisis team of 6 people was brought together to determine the outcome and if fruit and distribution were affected.

- 2.6.3.1** The methods and responsibility for execution of a crisis management plan shall be documented and implemented. The plan shall include: i. A list of known potential dangers (e.g., flood, drought, fire, tsunami, or other severe weather or regional events such as pandemic, warfare, or civil unrest) that can impact the site's ability to deliver safe food; ii. Designated site management responsible for decision making, oversight, communications, and management of the crisis management plan; and iii. Control measures to ensure any affected product is identified, isolated, and dispositioned appropriately.

RESPONSE: COMPLIANT

2.6.3.2 The crisis management plan shall be reviewed, tested, and verified at least annually with gaps and appropriate corrective actions documented. Records of reviews of the crisis management plan shall be maintained.

RESPONSE: COMPLIANT

2.7.1 Food Defense Plan (Mandatory)

A Food Defense and security system is in place. Borton Fruit Facility has fencing surrounding the facility with gated entry. All doors are secure. Entry points funnel people to controlled areas. Cameras are in and out of the facility. 6-26-2021 p-06-03A Challenged the system. Suspicious person in the facility from the loading area. All personnel notified of the person in the facility. Jeremy Leavitt does the testing and the Food Defense Team (6) is brought together to determine the outcome.

2.7.1.1 A food defense threat assessment shall be conducted to identify potential threats caused by a deliberate act of sabotage or terrorist-like incident.

RESPONSE: COMPLIANT

2.7.1.2 A food defense plan shall be documented, implemented, and maintained based on the threat assessment (refer to 2.7.1.1). The food defense plan shall meet legislative requirements as applicable and shall include at a minimum: i. The methods, responsibility, and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident; ii. The name of the senior site management person responsible for food defense; iii. The methods implemented to ensure only authorized personnel have access to production equipment and vehicles, manufacturing, and storage areas through designated access points; iv. The methods implemented to protect sensitive processing points from intentional adulteration; v. The measures taken to ensure the secure receipt and storage of raw materials, ingredients, packaging, equipment, and hazardous chemicals to protect them from deliberate acts of sabotage or terrorist-like incidents; vi. The measures implemented to ensure raw materials, ingredients, packaging (including labels), work-in-progress, process inputs, and finished products are held under secure storage and transportation conditions; and vii. The methods implemented to record and control access to the premises by personnel, contractors, and visitors.

RESPONSE: COMPLIANT

2.7.1.3 Instruction shall be provided to all relevant personnel on the effective implementation of the food defense plan (refer to 2.9.2.1).

RESPONSE: COMPLIANT

2.7.1.4 The food defense threat assessment and prevention plan shall be reviewed and tested at least annually or when the threat level as defined in the threat assessment changes. Records of reviews of the food defense plan shall be maintained.

RESPONSE: COMPLIANT

2.7.2 Food Fraud (Mandatory)

Organics are packed in 2021. A clean break is in place for organic packing along with proper identification of all fruit. Organics are identifiable throughout the entire process. All product is properly labeled and weights and varieties are correct. A food Vulnerability plan is in place and reviewed annually during the systems review. All fruit packed organic and conventionally.

2.7.2.1 The methods, responsibility, and criteria for identifying the site's vulnerability to food fraud shall be documented, implemented, and maintained. The food fraud vulnerability assessment shall include the site's susceptibility to product substitution, mislabeling, dilution, and counterfeiting or stolen goods that may adversely impact food safety.

RESPONSE: COMPLIANT

2.7.2.2 A food fraud mitigation plan shall be developed and implemented, which specifies the methods by which the identified food fraud vulnerabilities shall be controlled and how the plan is communicated to relevant personnel to ensure effective implementation.

RESPONSE: COMPLIANT

2.7.2.3 The food fraud vulnerability assessment and mitigation plan shall be reviewed and verified at least annually with gaps and corrective actions documented. Records of reviews shall be maintained.

RESPONSE: COMPLIANT

2.8.1 Allergen Management (Mandatory)

An allergen control program is in place. Apples are not considered an Allergen in any Country of destination. SOPs are in place for controlling potential allergens brought into the facility by workers.

2.8.1.1 The methods and responsibility for the control of allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include: i. A hazard and risk analysis and control measures of those agricultural inputs and processing aids, including food grade lubricants, that contain food allergens (refer to food safety plan 2.4.3); ii. An assessment of workplace-related food allergens that may originate from change rooms, vending machines, lunchrooms, and visitors; iii. A list of allergens that is applicable in the country of production and the country (ies) of destination if known; iv. A list of allergens that is accessible by relevant personnel; and v. Individual management plans for control of the identified allergens.

RESPONSE: COMPLIANT

2.8.1.2 Product labeling, in accordance with regulatory requirements, shall include allergens where risks from cross-contamination have been documented.

RESPONSE: COMPLIANT

2.9.1 Training Requirements

The training program includes training of all employees on Food Safety, GMPs, Loading, Pallet Jack, HACCP, Allergens, Sanitation, Food Defense, and worker position requirements. Tests are conducted following training for GMPs and Food Safety. Instructions for all job functions are provided in the training manual and are available to relevant workers. Refresher training is performed annually. Refresher training for all employees has been conducted and records are maintained in a binder. Form F-01-12 Training Employee Education is present. Sighted the Borton Packing Management Policy, for Training of Employees. Reviewed training records for: CP training for ORP/pH/Cl monitoring with written assessment: CP operators, Trained by US Syntec for CP operators, Sighted records of compliance for recording Levels of Chlorine minimum with ORP 650 mv and PPM of 5 or more, Cleaning Crew trained by Birkos, Sorter, Mechanics Packer, Segregators Forklift operators, and the shipping personnel. A training program is in place for all workers. Form F-01-02 New hires for Apple Packing trained on 6-2-2021 for 80 workers on Warehouse Safety and Hygiene. All training is on a register by training needs to ensure compliance.

2.9.1.1 The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting products, legality, and safety shall be defined and documented (refer to 2.1.1.6).

RESPONSE: COMPLIANT

2.9.1.2 Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements.

RESPONSE: COMPLIANT

2.9.2 Training Program (Mandatory)

The SQF Practitioner and HR are responsible for training which includes both basic training in HACCP, SQF, hygiene, and GMPs, as well as specialized training for various job functions. The program is robust and covers all food safety-related issues. Sighted training records for: CP training for ORP/pH/Cl monitoring with written assessment: CP operators, Trained by US Syntec for CP operators, Sighted records of compliance for recording Levels of Chlorine. QC staff training for fruit grading: Larry Gamache, Veronica Garcia Dumper Training: Karina Padilla, Carmen Verduzco -Clean up crew training. Joe Kitner Cleaning Lead with 25 people on the cleaning crew. Clean up crew training: Cascade Analytical and Birko is used to help train the cleaning crew. ORP monitoring is done by Christian Mendoza and Zack Leahy Training Forms FZ-01-02 7-30-21 Bismark Castro, Maria Cruz, Maria Ortiz. Minor 2.9.2.3 Missing names of trainers and all topics covered, 8-3-2021 training logs.

2.9.2.1 A training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied to relevant personnel upon initial hire and for ongoing refresher training. The training program shall include at a minimum: i. Appropriate HACCP training for personnel involved in developing and maintaining food safety plans; ii. Monitoring and corrective action procedures for all personnel engaged in operating critical control points (CCPs); iii. Personal hygiene training for all personnel involved in the handling of food products and food contact surfaces; iv. Good Agricultural/Operating Practices for all personnel engaged in food handling operations; v. Allergen management, food defense and food fraud for all relevant on-site personnel; and vi. Identification and implementation of refresher training.

RESPONSE: COMPLIANT

2.9.2.2 Training materials, the delivery of training, and work instructions on all tasks critical to meeting regulatory compliance and the maintenance of food safety shall be provided in language(s) understood by personnel.

RESPONSE: COMPLIANT

2.9.2.3 Training records shall be maintained and include: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Verification that the trainee is competent to complete the required tasks.

RESPONSE: MINOR

EVIDENCE: Missing names of trainers and all topics covered. 8-3-2021 training logs.

ROOT CAUSE: HR employees not filling out training documents completely - required re-training.

CORRECTIVE ACTION: Re-trained HR staff (2) employees, must completely fill out training forms.

VERIFICATION OF CLOSEOUT: Training records are supplied and current for Borton Fruit Yakima Facility. This was being done but records were incomplete

COMPLETION DATE: 08/24/2021 **CLOSEOUT DATE:** 09/10/2021

10.1.1 Premise Exterior

The site is located in a suburban area of Union GAP Washington. The external areas include asphalt and concrete car parking areas with trees and Asphalt Road. The site is appropriate for packing Apples. Borton Fruit has been approved by Yakima County for a commercial business license and is registered with the FDA with a license number is 12448911534

10.1.1.1 The location and construction of the premises and building shall ensure that: i. Adjacent and adjoining buildings, operations, and land use do not interfere with safe and hygienic operations; and ii. Relevant regulatory authority approval has been obtained and is on file.

RESPONSE: COMPLIANT

10.1.1.2 The methods and responsibilities applied to maintain a suitable exterior environment shall be documented and implemented. These include: i. Effective, periodic monitoring and/or inspection of the premises, the surrounding areas, storage facilities, machinery, and equipment; ii. Controls to ensure that the exterior is kept free of waste and/or accumulated debris to prevent the attraction of pests and vermin; iii. Paths, roadways, loading and unloading areas are adequately drained and maintained; and iv. Records of inspections and correction actions are maintained.

RESPONSE: COMPLIANT

10.1.2 Building Interior

Floors are observed to be smooth, impact-resistant, and sloped towards the floor drains. Floors are sloped to floor drains; no standing water was observed. Drains were constructed in a manner that allows for ease of cleaning. Drains were observed very clean and well maintained. Walls, partitions, ceilings, and doors were observed constructed of materials suitable for food manufacturing. Wall to floor and wall to wall junctions were properly sealed and no accumulation of debris was observed. There are no windows in the product handling areas and all doors are solid. Stairs and catwalks are protected with Stainless Steel plates and a 3-inch lip. Repacking is done in a dedicated area on the packing line. The facility is newer operating in the 3rd year of packing.

10.1.2.1 Floors shall be constructed of smooth, dense, impact-resistant material that can be effectively graded, drained, easily cleaned, and is impervious to liquid. Floors shall be suitably sloped toward the floor drains at gradients to allow the effective removal of all overflow or wastewater under normal working conditions. Where floor drainage is not possible, plumbed options or other control measures shall be in place to handle overflow or wastewater.

RESPONSE: COMPLIANT

10.1.2.2 Drains and waste/material trap systems shall be constructed and located so that they can be easily cleaned and not present a hazard to products.

RESPONSE: COMPLIANT

10.1.2.3 Walls, partitions, ceilings, and doors shall be of durable construction. Internal surfaces shall have even, smooth light-colored finishes, be impervious to liquids, and shall be kept clean (refer to 10.2.5). Wall-to-wall and wall-to-floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris. Drop ceilings, where present, shall be constructed to enable monitoring for pest activity, facilitate cleaning, and provide access to utilities.

RESPONSE: COMPLIANT

10.1.2.4 Ducting, conduit, and pipes that convey products or services, such as steam or water, shall be designed and constructed to prevent the contamination of food, ingredients, and food contact surfaces and allow ease of cleaning (refer to 10.3.2).

RESPONSE: COMPLIANT

10.1.2.5 Adequate ventilation shall be provided in enclosed product handling and storage areas and meet commodity-specific regulations where applicable. All ventilation equipment and devices shall be adequately cleaned per the cleaning and sanitation program.

RESPONSE: COMPLIANT

10.1.2.6 Pipes carrying sanitary waste or wastewater that are located directly over product lines or storage areas shall be designed and constructed to prevent the contamination of food, materials, ingredients, and food contact surfaces, and shall allow ease of cleaning.

RESPONSE: COMPLIANT

10.1.2.7 Doors, hatches, and windows and their frames in food handling or storage areas shall be of a material and construction that meets the same functional requirements for internal walls and partitions. Doors and hatches shall be of solid construction, and windows shall be made of shatterproof glass or similar material.

RESPONSE: COMPLIANT

10.1.2.8 Stairs, catwalks, and platforms in food processing and handling areas shall be designed and constructed so they do not present a product-contamination risk and with no open grates directly above exposed food product surfaces. They shall be kept clean (refer to 10.3.2).

RESPONSE: COMPLIANT

10.1.2.9 The inspection/quality control area shall be provided with facilities that are suitable for examination and testing of the type of product being handled/packed (refer to 2.4.4 for internal lab requirements). The inspection area shall: i. Have easy access to handwashing facilities; ii. Have appropriate waste handling and removal; and iii. Be kept clean to prevent product contamination.

RESPONSE: COMPLIANT

10.1.2.10 Lighting and light fixtures in product handling areas, inspection stations, ingredient/ input and packaging storage areas, and all areas where the product is exposed shall be: i. Of appropriate intensity to enable personnel to carry out tasks efficiently and effectively; and ii. Shatterproof, manufactured with a shatterproof covering, or fitted with protective covers. Where fixtures cannot be recessed, including in warehouses, structures must be protected from accidental breakage, manufactured from cleanable materials, and addressed in the cleaning and sanitation program.

RESPONSE: COMPLIANT

10.1.3 Dust, Insect, and Pest Proofing

External doors and other openings were observed to be properly sealed to prevent entry to pests or dust. The doors, including personnel access doors, are self-closing and were observed closed when not in use. Adequate provision is made for sealing around trucks in docking areas. Insect light traps are not present. Interior traps are tin cats and are properly located along the perimeter wall with a numbering system. Pest chemicals are not stored on-site.

10.1.3.1 All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed and proofed against dust, vermin, and other pests. External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against ingress of dust, vermin, and other pests.

RESPONSE: COMPLIANT

10.1.3.2 External doors, including overhead dock doors in food handling areas used for product, pedestrian, or truck access, shall be designed and maintained to prevent pest entry by at least one or a combination of the following methods: i. A self-closing device; ii. An effective air curtain; iii. A pest-proof screen; iv. A pest-proof annex; and v. Adequate sealing around trucks in docking areas.

RESPONSE: COMPLIANT

10.1.3.3 Electric insect control devices, pheromone, or other traps and baits shall be located and operated so they do not present a contamination risk to the product, packaging, containers, or operating equipment. Poison rodenticide bait shall not be used inside packing rooms, product storage areas, or food handling areas.

RESPONSE: COMPLIANT

10.2.1 Equipment and Utensils

The line equipment is designed by Unitec Fruit and designed for the packing of cherries. All areas are cleanable. There are forklifts in the facility. Produce storage racks and calibrated equipment were observed well maintained. Protective clothing (gloves and hairnets) is provided. Racks for clothing are provided near the break and restroom. All cleaning aids are identified and stored in a locks closet on site. Purchasing Manager is Andy Burly who purchases all materials from Aweta, Fruit Packers Supply, and HR Spinner.

10.2.1.1 The methods and responsibility for purchasing and specifications development for equipment and utensils shall be documented and implemented. The methods shall ensure that equipment and utensils: i. Are designed, constructed, installed, and operated so as not to pose a threat to products; and ii. Meet any applicable regulatory requirements.

RESPONSE: COMPLIANT

10.2.1.2 Product contact surfaces and those surfaces not in direct contact with product in product handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute to a food safety risk.

RESPONSE: COMPLIANT

10.2.1.3 Benches, tables, conveyors, shellers, graders, packers, and other mechanical equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious, and free from cracks or crevices.

RESPONSE: COMPLIANT

10.2.1.4 Product containers, tubs, and bins used for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious, and readily cleaned per the cleaning and sanitation program. Bins used for inedible material shall be clearly identified.

RESPONSE: COMPLIANT

10.2.1.5 All equipment and utensils shall be cleaned after use and be stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.

RESPONSE: COMPLIANT

10.2.1.6 Vehicles and/or other devices used to transport and move products in food contact, handling, or processing zones, or cold storage rooms shall be designed and operated so as not to present a food safety hazard.

RESPONSE: COMPLIANT

10.2.2 Equipment Maintenance and Repair

Maintenance personnel are present and interviewed. FA-03-49 shows maintenance logs for 7-11-21 and 7-17-2021 BPC- completed by Rafa Rodrigo, Garcia. Methods and frequency of Maintenance are in place. Documents show daily, Weekly Monthly and Annual maintenance of equipment and facilities are in place. i.e. De stackers, dump tanks, Sizers, Sorters, baggers. Sighted training records maintenance staff. The maintenance team has lockers on the production floor for the storage of tools etc. are to be cleaned after use per policy Refrigeration is maintained Monthly. A master maintenance Schedule is in place. The schedule covers the entire facility including the packing line, Refrigeration storage and Shipping dock areas Paint is peeling on non-contact equipment on the line.

10.2.2.1 The methods and responsibility for the maintenance and repair of equipment and buildings and facilities shall be documented, planned, and implemented in a manner that minimizes the risk of product, packaging, or equipment contamination. The methods shall include procedures to ensure: i. Routine preventive maintenance of facilities and equipment in any food handling or storage area is performed according to a maintenance control schedule; ii. Preventive maintenance and repair of items identified as impacting food safety controls and practices are prioritized for completion according to defined schedules or immediately when they are not properly functioning; and iii. Records are maintained for all preventive maintenance and equipment failure/immediate repair activities and corrective actions. The maintenance schedule shall cover buildings, equipment, and other areas of the premises critical to the maintenance of product safety and quality.

RESPONSE: COMPLIANT

10.2.2.2 The maintenance supervisor and/or site supervisor shall be informed when repairs or maintenance are undertaken in product handling or storage areas and when the activities pose a potential threat to product safety (e.g., pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside operating times.

RESPONSE: COMPLIANT

10.2.2.3 Temporary repairs, where required, shall not pose a food safety risk, and shall be included in the cleaning program and/or routine inspections. There shall be a plan in place to address the completion of temporary repairs to ensure they do not become permanent solutions.

RESPONSE: COMPLIANT

10.2.2.4 Equipment located over product or product conveyors shall be lubricated with food-grade lubricants, and their use shall be controlled to minimize the contamination of the product.

RESPONSE: COMPLIANT

10.2.2.5 Paint used in a food handling or contact zone shall be suitable for use, in good condition, and shall not be used on any product contact surface.

RESPONSE: COMPLIANT

10.2.2.6 Compressed air systems, and systems used to store or dispense other gases used in the operational process that come into contact with food or food contact surfaces, shall be maintained and regularly monitored for quality and applicable food safety hazards.

RESPONSE: COMPLIANT

10.2.3 Maintenance Personnel and Contractors

A Team of 5 personnel handles all maintenance during production. A list of contractors is written for work in the facility. Trucks maintained by Borton Fruit Mechanics, Double Kold is used for Refrigeration, Sprague Pest control, US Syntec for Chemical all are in the facility for contracted work. All work is done after the line is down per policy.

10.2.3.1 Maintenance personnel and contractors shall comply with the site's personnel and operational hygiene requirements (refer to 10.5).

RESPONSE: COMPLIANT

10.2.3.2 All maintenance and other engineering contractors required to work on-site shall be trained in the site's food safety and hygiene procedures or shall be escorted at all times until their work is completed.

RESPONSE: COMPLIANT

10.2.3.3 Maintenance personnel and contractors shall remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be conducted and a pre-operational inspection completed prior to the restarting of site operations. Maintenance, operations, and/or sanitation shall sign-off on communications.

RESPONSE: COMPLIANT

10.2.4 Calibration

Methods of calibration for scales are done by OPR, is done by Michelli Weights and Measurement. 5-21-2021 US Syntec Industries. Refrigeration is Calibrated in-house and by Double Kold. Records show scales calibrated weekly, sighted documents for the past year. Thermometers are calibrated each April. line 1 US Syntec Manufacturing comes weekly to calibrate injection pumps for chlorine levels weekly for lines 1 and 2. Ted Knonberg and Double Kold Refrigeration. All cold storage rooms annually. SOP's are in place for dealing with potential contamination issues from products not meeting CP requirements set by Borton and Sons. i.e. OPR falling below 650 mv. (Chlorine levels) a document sighted for each week in July. showed no non-conformance. The lowest level sighted was 784 mv well above the Critical Limits. Calibrated measuring, test, and inspected equipment shall be protected from damage and unauthorized adjustment. A schedule for calibrating all food safety equipment meets the manufacturer's specifications and is recorded. i.e. US Syntec for injection pumps to have weekly Calibration. Ted Kronberg and Double Kold. US Syntec Calibrate for Line Equipment.

10.2.4.1 The methods and responsibility for calibration and re-calibration of measuring, testing, and inspection equipment used for monitoring activities outlined in Good Operating Practices, food safety plans, and other process controls or to demonstrate compliance with customer specifications shall be documented and implemented. The procedures shall ensure: i. Calibration is performed according to regulatory requirements and/or the equipment manufacturer's recommended schedule; ii. Calibrated measuring, testing, and inspection equipment is protected from damage and unauthorized adjustment; iii. Affected product is handled according to non-conforming product procedures when equipment is found to be out of calibration; iv. Software used for calibration activities is effective and appropriate; and v. Records of calibration activities are maintained.

RESPONSE: COMPLIANT

10.2.4.2 Equipment shall be calibrated against manufacturer, national or international reference standards and methods, or to an accuracy appropriate to its use. In cases where standards are not available, the site shall provide evidence to support the calibration reference method applied.

RESPONSE: COMPLIANT

10.3.1 Pest Prevention

Sprague pest control designed a pest control program for the facility and interior and exterior. Sprague Pest Control is used to help with the pest control program. Bait stations are used outside the buildings and tin cats inside. Monitoring records on file, externals twice per month, internal weekly. Pest Control procedures sighted: -Packing line Quarantine). -Pest Control Work Procedure). Records are held in the Pesticide binder from Sprague and Service Reports. Ron Alder and Ben Valasquez. WSDA Lic # 98201

10.3.1.1 The methods and responsibility for pest prevention shall be documented and effectively implemented. The pest prevention program shall: i. Describe the methods and responsibility for the development, implementation, and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity so as to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods and the appropriate documentation for each inspection; v. Outline the frequency with which pest status is to be checked; vi. Include the identification, location, number, and type of bait stations set on a site map; vii. List the chemicals used. They are required to be approved by the relevant authority, and their Safety Data Sheets (SDS) made available; viii. Outline the methods used to make personnel aware of the bait control program and the measures to take when they come into contact with a bait station; ix. Outline the requirements for personnel awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests and to identify trends.

RESPONSE: COMPLIANT

10.3.1.2 Pest contractors and/or internal pest controllers shall: i. Be licensed and approved by the local relevant authority; ii. Use only trained and qualified operators, who comply with regulatory requirements; iii. Use only approved chemicals; iv. Maintain a site map indicating the location of bait stations, traps, and other applicable pest control/monitoring devices; and v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments.

RESPONSE: COMPLIANT

10.3.1.3 Inspections for pest activity shall be conducted on a regular basis by trained personnel and the appropriate action taken if pests are present. Identified pest activity shall not present a risk of contamination to food products, raw materials, or packaging. Records of pest activity inspections and pest control devices shall be maintained.

RESPONSE: COMPLIANT

10.3.1.4 Food products, raw materials, or packaging that are found to be contaminated by pest activity shall be effectively disposed of, and the source of pest infestation shall be investigated and resolved. Records shall be kept of the disposal, investigation, and resolution.

RESPONSE: COMPLIANT

10.3.1.5 No domestic animals shall be permitted on the site in food handling or storage areas

RESPONSE: COMPLIANT

10.3.2 Cleaning and Sanitation

A cleaning program is in place for the entire facility. FZ -03-01 shows Joe Kitner Lead Sanitation and Cleaner overseeing all lines and 30 cleaners. Oscar Suarez Operations Manager signs off on all activities. As stated in the SOP and Prerequisite programs. Birko Chemicals is hired to help with the cleaning program. Cleaning of packing equipment is effective and in clean condition. ATP testing and environmental testing is done daily ATP is done nightly to verify effectiveness. Sighted records for: Daily Shed Cleaning Log for each line & cool room: 6-1-21 Pre-operational inspections are done and cleaning verification is present by Oscar Suarez Records show P-03-40 done daily by Oscar Suarez and Managed by Joe Kitner. Reviewed procedures for: Main production line for Apple packing on two lines with baggers. SSOP covering all equipment with photos. ATP and Environmental Sampling Protocol in place. Sighted MSDS for: -Pac Chlor 12.5% . -Natures Shield 440-BF . -Shield-Brite FDL . -Result degreaser. -Accutab . -D Brite Plus . -Orange Citrus Clean. -Sodium Thiosulfate (is 3/3/17). -Clor Cling 525. P-03-15 Cleaning jugs and barrels are taken back to the supplier for proper disposal. Agri Plas in Pasco WA picks up the plastic containers. Sighted records for: -lab results for swabs (listeria, salmonella, E.coli) of belts, debris table, rollers brushes, Belts - ATP Testing is done daily us hygiena Snap tester. Records show counts and corrective actions for recleaning if positive counts. Environmental testing is done to verify effectiveness. i.e. Sample 6 for Line equipment, Floor drains, Walls. On-site by Borton. Monthly Testing is done by IEH for Listeria E Coli, Salmonella. . Non-wet areas have weekly cleaning on baggers and Sizars.

10.3.2.1 The methods and responsibility for cleaning of the product handling equipment and environment shall be documented and implemented. Cleaning procedures and schedules shall include: i. A list of equipment, utensils, and storage areas that require periodic cleaning; ii. Instructions on how cleaning is performed for the various areas and equipment; iii. The frequency of when cleaning is to be completed; iv. Personnel responsible and the methods used to verify the effectiveness of the cleaning and sanitation program (e.g., validation of procedures, concentration of detergents and sanitizers); and v. Records of cleaning activities and effectiveness reviews/inspections are maintained.

RESPONSE: COMPLIANT

10.3.2.2 Detergents and sanitizers shall be suitable for use in a food handling environment, labeled according to regulatory requirements, and purchased in accordance with applicable legislation. The organization shall ensure: i. The site maintains a list of chemicals approved for use; ii. An inventory of all purchased and used chemicals is maintained; iii. Detergents and sanitizers are properly stored as per the storage program; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; and v. Only trained personnel handle sanitizers and detergents.

RESPONSE: COMPLIANT

10.3.2.3 Detergents and sanitizers that are mixed for use shall be correctly mixed according to the manufacturer's instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified, and records maintained.

RESPONSE: COMPLIANT

10.3.2.4 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards, and other utensils. Racks and containers for storing cleaned utensils and protective clothing shall be clearly identified and maintained in a manner that prevents contamination of products, equipment, or storage areas.

RESPONSE: COMPLIANT

10.3.2.5 Pre-operational inspections shall be conducted following cleaning and sanitation operations to ensure food handling areas, product contact surfaces, equipment, personnel amenities, sanitary facilities, and other essential areas are clean before the start of operations. Pre-operational inspections shall be conducted by qualified personnel and records maintained.

RESPONSE: COMPLIANT

10.3.2.6 Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel at a defined frequency to ensure the areas are clean.

RESPONSE: COMPLIANT

10.3.2.7 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared. A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

RESPONSE: COMPLIANT

10.4.1 Personnel Practices

An SOP is present for inspection of Personnel daily prior to start-up A policy is in place in the SOPs and training is sighted on for all employees. Interviewed supervisors on start-up and employee inspection. Each person is assessed during the day for health and compliance with regulations.

10.4.1.1 A documented and implemented procedure for personal hygiene and personnel practices shall ensure that personnel engaged in the handling of product use appropriate personal hygiene practices. The procedure shall include instructions that: i. Jewelry and other loose objects that pose a threat to the safety of the product are not worn or taken into any product handling or storage operations. ii. Fingernail polish, artificial nails, and long nails are not permitted where product is handled with bare hands; iii. False eyelashes and eyelash extensions are not permitted; iv. Hair restraints are used where product is exposed; and v. Smoking, chewing, eating, drinking (except for water which shall be available to all personnel), or spitting are not permitted in any packing or storage areas. Note: The wearing of plain bands with no stones or jewelry accepted for religious or cultural reasons and prescribed medical alert bracelets can be permitted; however, the site will need to consider its customer requirements and the applicable food legislation. Personnel and visitor practices, including all those listed in 10.4.1, shall be routinely monitored for compliance, and any resulting corrective actions implemented and recorded for personnel who violate food safety practices.

RESPONSE: COMPLIANT

10.4.1.2 Personnel who are known to be carriers of infectious diseases that present a health risk to others through the packing or storage processes shall not engage in packhouse operations.

RESPONSE: COMPLIANT

10.4.1.3 Procedures and responsibilities shall be in place that specify the handling of product and/or product contact surfaces that have been in contact with or exposed to blood or other bodily fluids.

RESPONSE: COMPLIANT

10.4.1.4 Personnel with exposed cuts, sores, or lesions shall not be engaged in handling product or product contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a suitable waterproof and colored dressing.

RESPONSE: COMPLIANT

10.4.2 Sanitary Facilities and Handwashing

Hand washing is sighted in the break room opening up into the packing facility. The restroom has handwashing next to the break areas. Sinks a cleanable surface and potable water is only used in the facility. Air blades and Paper towels are present. Signs are posted in English and Spanish Training is done for all employees on handwashing and hygiene. Glove on the packing line and single-use nitrile gloves

10.4.2.1 Toilet and handwashing facilities shall be provided and designed, constructed, and located in a manner that minimizes the potential risk for product contamination. The following shall be considered: i. There shall be sufficient toilet facilities for the maximum number of personnel, and they shall be constructed so they can be easily cleaned and maintained; ii. Handwash basins with clean and potable water, hand soap, disposable towels or effective hand drying devices, waste bins, and a tank that captures used handwash water for disposal (if not connected to drains) shall be provided inside or adjacent to toilet facilities and in accessible locations throughout food handling areas as required; iii. Signage in appropriate languages shall be provided adjacent to handwash basins instructing personnel to wash their hands after each toilet visit; iv. Racks for protective clothing used by personnel and visitors shall be provided; and v. Toilet and wash stations shall be maintained in clean and sanitary conditions. Tools/equipment used for cleaning toilet rooms shall not be used to clean operational areas.

RESPONSE: COMPLIANT

10.4.2.2 Personnel shall have clean hands, and hands shall be washed by all personnel, contractors, and visitors: i. On entering food handling areas, and before putting on gloves; ii. After each visit to a toilet; iii. After using a handkerchief; iv. After smoking, eating, or drinking; and v. After handling wash down hoses, cleaning materials, dropped products, or contaminated material.

RESPONSE: COMPLIANT

10.4.2.3 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system as per regulations.

RESPONSE: COMPLIANT

10.4.3 Protective Clothing

No specialized clothing is required for any job function in the facility. The sanitation crew has rubber boots and gloves. Packers and sorter have nitrile gloves. Some employers wear smocks to protect clothing and smocks sighted are maintained and in good condition. Smocks are left on the line or on hangers are the breaks areas.

10.4.3.1 Protective clothing (e.g., uniforms and smocks) shall not pose a food safety threat or be a risk to product contamination. Protective clothing shall be: i. Manufactured from material that can be effectively maintained, stored, and laundered after use or at a frequency that does not create risks of cross-contact with products. Excessively soiled uniforms shall be changed or replaced where they become a product contamination risk; and ii. Temporarily stored on racks, when personnel leave operating areas or use toilet facilities and the clothing can be easily removed (e.g., smocks and aprons).

RESPONSE: COMPLIANT

10.4.3.2 Where applicable, clothing (i.e., any outer garment), including footwear, shall be in good condition, cleaned, and worn to protect product from the risk of contamination.

RESPONSE: COMPLIANT

10.4.3.3 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area, and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and, when not in use, stored on racks provided in the processing area or designated sealed containers in personnel lockers and not on packaging, ingredients, product, or equipment.

RESPONSE: COMPLIANT

10.4.4 Visitors

Visitors must sign and agree to follow GMPs prior to entry into the facility. Visitors exhibiting signs of illnesses are not allowed to enter the facility. Covid protocols are present for temp checks and assessment. Visitors enter and exit the facility through a designated door.

10.4.4.1 All visitors, including management, shall be required to adhere to site personnel practices and specifically: i. Remove jewelry and other loose objects as per 10.4.1.1; ii. Wash hands as per 10.4.2.2; iii. Wear suitable clothing and footwear when entering any operational or food handling area; and iv. Enter and exit food handling areas through the proper entrance points.

RESPONSE: COMPLIANT

10.4.4.2 Visitors who are exhibiting visible signs of illness or have been in recent direct contact with other sites, animals, or produce shall be prohibited from entering any growing or product handling or harvesting operation.

RESPONSE: COMPLIANT

10.4.5 Personnel Amenities (change rooms, toilets, lunchrooms/breakrooms)

The staff break room was observed adequately lit and well ventilated. No changing rooms are needed. The break room is located in a designated location away from processing or packaging areas. Refrigerators, microwaves, tables, and chairs are available. The outside eating area is in place during the Pandemic.

10.4.5.1 Staff facilities shall be supplied with appropriate lighting and ventilation and provided to enable staff and visitors to: i. Change into and out of protective clothing, if applicable; ii. Store street clothing, footwear, and personal items separate from food handling, packing, and storage areas.

RESPONSE: COMPLIANT

10.4.5.2 Separate lunchroom and/or breakroom facilities shall be provided away from product contact/handling zones. Lunchrooms/breakrooms shall be: i. Ventilated and well lit; ii. Provided with adequate tables and seating to accommodate the maximum number of personnel at one sitting; iii. Equipped with a sink serviced with hot and cold potable water for washing utensils; iv. Equipped with refrigeration and heating facilities, enabling personnel to store or heat food and prepare non-alcoholic beverages if required; and v. Kept clean and free from waste materials and pests.

RESPONSE: COMPLIANT

10.4.5.3 Where outside eating areas are provided, they should be kept clean and free from waste materials and maintained in a manner that minimizes the potential for the introduction of contamination, including pests, to the site.

RESPONSE: COMPLIANT

10.5.1 Product Handling and Packaging Operations

Personnel observed were following the GMP's for packing of Apples. All product is QC at arrival. Apples are sent to QC for determination of short or long-term storage. The Apples are inspected for quality and condition. Supervisors inspect the employees at the beginning of each shift Apples are inspected at various locations on the packing line and are following procedures. All Apples are brought to the facility by Flat Bed Trucks. Truck inspection logs are present for each incoming load. Organic and Inorganic designation is on each bin of fruit. All finished product is separate from raw product.

10.5.1.1 All personnel engaged in any food handling operations shall ensure that products and materials are handled and stored to prevent damage or product contamination. They shall comply with the following operational practices: i. No eating or tasting any product in the food handling/contact zone, except as noted in element 10.5.1.2; ii. Entry into operational areas is only through the personnel access doors; iii. All doors are kept closed. Doors are not open for extended periods when access is required for waste removal, or receiving and/or shipping of products, ingredients, or packaging. iv. Packaging, product, and ingredients are kept in appropriate containers as required and off the floor; v. Waste is contained in the bins identified for this purpose, removed from operational areas regularly, and not left to accumulate; and vi. All wash down and compressed air hoses are stored on hose racks after use and not left on the floor.

RESPONSE: COMPLIANT

10.5.1.2 In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone, the site shall implement proper controls and procedures to ensure: i. Food safety is not compromised; ii. Sensory evaluations are conducted by authorized personnel only; iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations; iv. Sensory evaluations are conducted in areas equipped for the purpose; and v. Equipment used for sensory evaluations is sanitized, maintained, and stored separately from operational equipment.

RESPONSE: COMPLIANT

10.5.1.3 The flow of personnel in food handling areas shall be managed so that the potential for contamination is minimized.

RESPONSE: COMPLIANT

10.5.1.4 Personnel practices and activities, including those listed in 10.5, shall be routinely monitored for compliance, and any resulting corrective actions implemented and recorded for personnel who violate food safety practices.

RESPONSE: COMPLIANT

10.5.2 Control of Foreign Matter Contamination Operations

Visual and Electronic inspections are done for Apple Packing, QA of the finished product to ensure no product contamination. Environmental testing is done for listeria weekly and E.coli and Salmonella testing monthly. Sighted numerous documents for prior 2 weeks of inspections show inspection is done. No temporary repair was seen during the inspection. A glass register is present, Form F - 04-15 showing all glass and hard plastics

10.5.2.1 The methods and responsibility for the prevention of foreign matter and glass contamination shall be documented and implemented. Procedures and resulting records shall ensure: i. Containers, equipment, and other utensils made of glass, porcelain, ceramics, brittle plastic, or similar materials are not permitted where exposed product is handled, unless clearly identified, required for effective operational controls, and regularly inspected; ii. Regular inspections are conducted to ensure food handling/contact zones areas are free of glass and brittle plastic and any items made from the previously identified materials are in good repair; iii. Wooden pallets and other wooden utensils or tools used in food handling/contact zones are dedicated for that purpose. Their condition is subject to regular inspection, and they are cleaned and maintained in good order; iv. Product handling areas are routinely inspected to remove risks from foreign material, such as debris, wood, stones, metal, detached/deteriorated equipment, and other physical hazards; and v. Personnel are to be made aware of their responsibility to adhere to the site's foreign matter and glass controls.

RESPONSE: COMPLIANT

10.5.2.2 Knives and cutting instruments used in product handling and packaging operations shall be controlled, kept clean, and well maintained. Snap-off blades shall not be used in manufacturing or storage areas.

RESPONSE: COMPLIANT

10.5.2.3 Gaskets and other equipment made of materials that can wear or deteriorate over time shall be inspected on a regular frequency (refer to 2.5.4.3).

RESPONSE: COMPLIANT

10.5.3 Detection of Foreign Objects Operations

Daily pre-op inspection of the equipment and line is done and verified. Procedures are in place for breakage. All product is visually inspected at various locations. No metal detection or other equipment is used for foreign matter. An optical sizer for grading is used that will eliminate any defect or foreign matter in the fruit.

10.5.3.1 The responsibility, methods, and frequency for monitoring, maintaining, calibrating, and using screens, sieves, filters, or other technologies to remove or detect foreign matter shall be documented and implemented.

RESPONSE: NOT APPLICABLE

10.5.3.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated, and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

RESPONSE: NOT APPLICABLE

10.5.3.3 Records shall be maintained of the inspection of foreign object detection devices and any products rejected or removed by them. Records shall include any corrective and preventative actions resulting from the inspections.

RESPONSE: NOT APPLICABLE

10.5.3.4 In all cases of foreign matter contamination, the affected batch or item shall be isolated, inspected, reworked, or disposed of. Records shall be maintained of the disposition.

RESPONSE: COMPLIANT

10.5.3.5 In circumstances where glass or similar material breakage occurs, the affected area shall be isolated, cleaned, and thoroughly inspected (including cleaning equipment and footwear), and the completed actions approved by a suitably responsible person before restarting operations.

RESPONSE: COMPLIANT

10.5.4 Receiving and Shipping

Loading and unload SOP is in place. Trained personnel are documented for loading procedures. All incoming fruit is separate from the finished product. Truck inspection sheets are provided and recorded for each load of the incoming and outgoing trailers. Seals are used per customer requirements. All fruit is stored at 33 to 38 degrees during transportation. A recorder is added for LTL load and per customer requirements.

10.5.4.1 Personnel conducting receiving activities shall ensure agricultural inputs, packaging materials, and product are not contaminated during the unloading process. Work instructions and training shall include the following practices: i. Vehicles are clean, in good repair, suitable for the purpose, and free from odors or other conditions that may impact negatively on the agricultural input, packaging, or product; ii. Vehicles (e.g., trucks/vans/containers) are secured from tampering using a seal or other agreed-upon and acceptable device or system; iii. Unloading docks are designed to protect the product and in good operating condition (refer to 10.1.2.7); and iv. Where temperature control is required, the refrigeration unit's storage temperature settings and operating temperature are checked and recorded before opening the doors. Unloading is completed efficiently, and product temperatures are recorded at the start of unloading and at regular intervals during unloading. Recording documents for vehicle inspection, identification of approved suppliers, and temperature checks shall be maintained.

RESPONSE: COMPLIANT

10.5.4.2 Personnel conducting loading and transporting of harvested and/or packaged product shall ensure that product integrity is maintained. Work instructions and training shall include the following practices: i. Inspections for ensuring vehicles are clean, in good repair, suitable for the purpose, and free from odors or other conditions that may impact negatively on products; ii. Securing vehicles (e.g., trucks/vans/containers) from tampering using a seal or other agreed upon and acceptable device or system; iii. Loading docks are designed to protect the product and in good operating condition (refer to 10.1.2.7); iv. Verification that appropriate storage conditions are maintained during transportation to final destinations; v. Prevention of cross-contamination with other hazards and potential spoilage; vi. Use of appropriate stock rotation practices; and vii. Recording and maintaining documents for vehicle inspection, transport conditions, and stock rotation.

RESPONSE: COMPLIANT

10.6.1 Water Supply

Water is supplied by an onsite well near the City of union GAP Washington. Well water is tested showing negative for Coliforms and Heavy metals nitrates and contaminates Letter present for the right to pull water from well. Tested by Cascade Analytics(Eurofins) Negative Coliforms on July 26 2021 Sample MH00000059. The wellhead is sealed so no backflow is being done with a one-way valve.

10.6.1.1 A water supply plan shall be prepared that describes the water sources and the operational areas they serve and shall include the location of water sources, permanent fixtures, and the flow of the water system. The plan shall be kept current and revised when changes occur. Contingency plans shall be in place for instances when the potable water supply is deemed to be contaminated or otherwise inappropriate for use.

RESPONSE: COMPLIANT

10.6.1.2 Adequate supplies of potable water drawn from a known clean source shall be provided for use during operations, cleaning the premises and equipment, and handwashing.

RESPONSE: COMPLIANT

10.6.1.3 Supplies of hot and cold water shall be provided, as required, to enable the effective cleaning of the premises and equipment.

RESPONSE: COMPLIANT

10.6.1.4 The use of non-potable water shall be controlled so that: i. There is no cross-contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified; iii. Hoses, taps, and other similar sources of possible contamination are designed to prevent backflow or back siphonage; and iv. Testing of the backflow system, where possible, is conducted at least annually and records are maintained.

RESPONSE: COMPLIANT

10.6.1.5 Where water is stored on-site, storage facilities shall be adequately designed, constructed, and routinely cleaned to prevent contamination.

RESPONSE: COMPLIANT

10.6.2 Water Treatment

Water is treated at the dump tank where Calcium Hypochlorite is injected into the flume. Minimum 650 mv. is to be met. Ozonated water is used at the water flume and rinses bars. Water Flume and records of testing are present. Test of water for potability was completed on 7-26-2021 by Cascade Analytics (Euro Fins) and ISO 17025 LAB. Results are negative for Coliforms

10.6.2.1 Water treatment methods, equipment, and materials if required, shall be designed, installed, and operated to ensure water receives effective treatment. Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

RESPONSE: COMPLIANT

10.6.2.2 Water used as an aid to operations (e.g., fluming, final product spray) or for cleaning and sanitizing equipment, shall be tested and, if required, treated to maintain potability (refer to 10.6.2.1).

RESPONSE: COMPLIANT

10.6.2.3 Treated water shall be regularly monitored to ensure it meets the specified indicators. Water treatment chemical usage shall be monitored to ensure chemical residues are within acceptable limits. Records of testing results shall be kept.

RESPONSE: COMPLIANT

10.6.3 Water Quality

Water is from a well and tested quarterly. Water used for packing Apples is treated with Ozone, Sodium, or Calcium Hypochlorite and monitored in real-time with sensors and pumps.

10.6.3.1 Water shall comply with local, national, or internationally recognized potable water microbiological and quality standards, as required, when used for: i. Washing, thawing, and treating food; ii. Handwashing; iii. Conveying food; iv. An ingredient or operational aid; v. Cleaning food contact surfaces and equipment; vi. The manufacture of ice; or vii. The manufacture of steam that will come into contact with food or be used to heat water that will come into contact with food.

RESPONSE: COMPLIANT

10.6.3.2 Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities, and the effectiveness of the treatment measures implemented. Samples for analysis shall be taken at sources supplying water for the process, cleaning, or from within the site. The frequency of analysis shall be risk-based, and at a minimum annually.

RESPONSE: COMPLIANT

10.6.3.3 Water and ice shall be analyzed using reference standards and methods.

RESPONSE: COMPLIANT

10.6.4 Ice Supply

No ice is used

10.6.4.1 Ice provided for use during operations, as a processing aid, or an ingredient shall comply with 10.5.3.1.

RESPONSE: NOT APPLICABLE

10.6.4.2 Ice that is purchased shall be from an approved supplier and included in the site's food safety risk assessment. Ice shall be supplied in containers that are appropriate for use, cleanable if reused, and be tested as appropriate (refer to 2.3.3).

RESPONSE: NOT APPLICABLE

10.6.4.3 Ice rooms and receptacles shall be constructed of materials as outlined in 10.1 and designed to minimize contamination of the ice during storage, retrieval, and distribution.

RESPONSE: NOT APPLICABLE

10.6.5 Air and Other Gasses

Air is used for sorting and bagging Apples. Testing is done by Cascade Analytical (Euro Fins). Air is tested ambient and at the hose end. Testing shows Ambient air is above Hepa Filter air. Eurofins Cascade Analytics 7-15--2021 3 CFU/100l. Compressed air passes for all contact areas. Ambient air is used as the base for testing quality.

10.6.5.1 Compressed air or other gases (e.g., nitrogen or carbon dioxide) that contact food or food contact surfaces shall be clean and present no risk to food safety.

RESPONSE: COMPLIANT

10.6.5.2 Compressed air systems and systems used to store or dispense other gases used in the operational process that come into contact with food or food contact surfaces shall be maintained and regularly monitored for quality and applicable food safety hazards. The frequency of analysis shall be risk-based and at a minimum annually.

RESPONSE: COMPLIANT

10.6.5.3 Ambient air shall be tested at least annually to confirm that it does not pose a risk to food safety.

RESPONSE: COMPLIANT

10.7.1 Ambient/Dry Storage

Storage racks and pallets were observed constructed of approved materials. Racks were observed clean and well maintained. Vehicles used in the warehouse are electric. Gas forklifts are used in outside and cold storage areas. All were observed well maintained. The FIFO method for stock rotation is used. No other storages exist.

10.7.1.1 The responsibility and methods for ensuring proper storage of inputs, packaging, and finished product shall be documented and implemented. The methods shall ensure: i. Effective stock rotation; ii. Utilization of inputs, work-in-progress, and finished product within their shelf life; iii. Risks to temporarily stored materials and/or products are analyzed, and controls are applied if necessary; iv. Rooms used for the storage of product ingredients, packaging, and other dry goods are located away from wet areas (refer to 10.1.2); and v. Records are maintained to control storage and stock rotation.

RESPONSE: COMPLIANT

10.7.1.2 Dry ingredients and packaging shall be received and stored separately from field product or chilled materials to ensure there is no cross-contamination. Unprocessed field products shall be received and segregated to ensure there is no cross-contamination.

RESPONSE: COMPLIANT

10.7.1.3 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning and inspection of the floors and areas behind the racks. Storage areas shall be cleaned at a predetermined frequency (refer to 10.2.5.1) and designed and constructed to prevent packaging from becoming a harborage for pests or vermin.

RESPONSE: COMPLIANT

10.7.2 Cold Storage, Controlled Atmosphere Storage, and Chilling of Foods

Multiple Cold Storages are on site. The coolers and dock area are on independent thermometers to verify temperature. The chillers are fitted with a catch basin and drainage. In addition, there is a policy to not store products directly under the chillers. Temperature monitoring records are maintained in a designated binder. The Cold storage temperature is maintained at 33 to 38 degrees. Multiple locations are for CA storage in or around the Yakima, WA area. Thermometers are maintained calibrated and temperatures were correct.

10.7.2.1 The site shall provide confirmation of the effective operational performance of coolers, controlled atmosphere facilities, and cool rooms. They shall be designed and constructed to allow for the hygienic and efficient refrigeration and storage of food and be easily accessible for inspection and cleaning.

RESPONSE: COMPLIANT

10.7.2.2 Sufficient refrigeration and controlled atmosphere capacity shall be available to chill or store the maximum anticipated throughput of products with allowance for periodic cleaning of storage rooms.

RESPONSE: COMPLIANT

10.7.2.3 Discharge from defrost and condensate lines shall be controlled and discharged into the drainage system.

RESPONSE: COMPLIANT

10.7.2.4 Cool and controlled atmosphere rooms shall be fitted with temperature and atmosphere monitoring equipment and located to monitor the warmest part of the room and fitted with measurement devices that are easily read and accessible.

RESPONSE: COMPLIANT

10.8.1 Storage of Hazardous Chemicals and Toxic Substances

Chemicals are stored in a cage in the packing room. Protected from unauthorized entry. Located away From Fruit or packing materials. Protected from unauthorized entry. Located away From Fruit or packing materials. Chemicals used on the line for the wash flume and stored next to the line with protective containment under them. Chemicals are inventoried with SDS sheets. Birkos supplies all cleaning chemicals used for environmental cleaning. Signs are posted and all containers have original labels chemicals are stored in a well-ventilated area. Empties are taken to the landfill per State requirements.

10.8.1.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to personnel, product, packaging, product handling equipment, or areas in which product is handled, stored, or transported. Specifically, they shall not be stored inside food handling areas and product and packaging storage rooms.

RESPONSE: COMPLIANT

10.8.1.2 Daily supplies of chemicals used for continuous sanitizing of water, as a processing aid, or for emergency cleaning of food handling equipment and surfaces in food contact zones may be stored within or in close proximity to a food handling area, provided that access to the chemical storage facility is restricted to authorized personnel.

RESPONSE: COMPLIANT

10.8.1.3 Hazardous chemical and toxic substance storage facilities shall: i. Be compliant with national and local legislation and designed so there is no cross-contamination between chemicals; ii. Be adequately ventilated; iii. Be provided with appropriate signage indicating the area is a hazardous storage area; iv. Be secure and lockable to restrict access only to personnel with formal training in handling and use of hazardous chemicals and toxic substances; v. Have instructions, including up-to-date Safety Data Sheets (SDS), on the safe handling of hazardous chemicals and toxic substances, readily accessible to personnel; vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility; vii. Have suitable first aid equipment and protective clothing available close to the storage area; viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and ix. Be equipped with spillage kits and cleaning equipment.

RESPONSE: COMPLIANT

10.8.1.4 Hazardous chemical and toxic substances shall be handled and applied by properly trained personnel. These materials shall be used by, or under the direct supervision of, trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

RESPONSE: COMPLIANT

10.8.1.5 The site shall dispose of unused chemicals and empty containers in accordance with regulatory requirements and ensure that: i. Empty chemical containers are not reused; ii. Empty containers are labeled, isolated, and securely stored while awaiting collection; and iii. Unused and obsolete chemicals are stored under secure conditions while awaiting authorized disposal by an approved vendor.

RESPONSE: COMPLIANT

10.9.1 Waste Management

Liquid wastewater is sent to a holding pond off-site and dechlorinated. Waste bins are well marked and the waste container is located outside the facility and dumped at least weekly by the waste management company. Bins are well marked for their intended purpose and the area surrounding the waste dump is clear of debris. Bins are well marked for their intended purpose and the area surrounding the waste dump is clear of debris.

10.9.1.1 The methods and responsibilities that describe the effective and efficient disposal of dry, wet, liquid, and solid waste, including inedible material, unusable packaging, and trademarked materials, from the premises shall be documented and implemented. Reviews of the effectiveness of waste management will be part of the site's daily inspections, and the results of these inspections shall be included in the relevant reports.

RESPONSE: COMPLIANT

10.9.1.2 Waste shall be regularly removed from food handling or processing areas so it does not create food safety risks for finished product and packing operations. Designated waste accumulation areas shall be maintained in a clean, tidy conditions until external waste collection occurs.

RESPONSE: COMPLIANT

10.9.1.3 Waste and overflow water from tubs, tanks, and other equipment shall be discharged directly to the floor drainage system and meet local regulatory requirements.

RESPONSE: COMPLIANT

10.9.1.4 Trolleys, vehicles waste disposal equipment, collection bins, and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so they do not attract pests and other vermin.

RESPONSE: COMPLIANT

10.9.1.5 Inedible waste designated for animal feed shall be stored and handled so it does not cause a risk to the animals or to further processing.

RESPONSE: COMPLIANT

